



# ***Comprehensive Approaches to Sex Offender Management Grant Program***

***FY2001  
Program Guidance  
and Application Kit***

***Application Deadline: June 22, 2001***

# ***Comprehensive Approaches to Sex Offender Management Grant Program***

***Fiscal Year 2001  
Application Kit***

***Application Deadline: June 22, 2001***

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**U.S. Department of Justice  
Office of Justice Programs**

810 Seventh Street, NW  
Washington, D.C. 20531

**John Ashcroft**  
*Attorney General*

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**Corrections Program Office Technical Assistance Line**  
(800) 848-6325

**Office of Justice Programs  
World Wide Web Homepage:**  
<http://www.ojp.usdoj.gov>

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## Quick-Start Guide to Using the Online Grants Management System

To apply online for OJP funding, you must establish a **User ID** and **password** with the Grants Management System (GMS), and you must receive e-mail confirmation that you are eligible to apply for funding. You may use User IDs and passwords from previous applications.

To begin the process:

1. Visit the OJP web site and download the online GMS Applicant Procedures Handbook at  
<http://www.ojp.usdoj.gov/fundopps.htm>.

The handbook has been recently updated.

2. Select "Logon to the Grants Management System (GMS)".
3. Click on: "New User? Register Here."
4. Follow the on screen instructions to register with the GMS system.

You will be asked to identify both a contact person (yourself) and an authorized representative for your agency. The latter should be the person with signature authority for the agency (i.e., the person who would sign an application or a grant award document).

5. After you complete the registration process, the information will be transmitted to the Corrections Program Office for verification. You will receive e-mail confirmation that you are eligible to apply for funding. Applications will not be accepted until this confirmation has been issued.
6. Please note that the names of the attachments to be included with your online submission have been updated. The revised names are: Budget Detail Worksheet (which includes your budget narrative), Program Narrative, and Other Program Attachments. Please call the GMS Help Desk if you have any questions about the attachments.

If you have any questions about GMS or need assistance, contact the **GMS Help Desk** at **(888) 549-9901**.

**Applications must be received online no later June 22, 2001**

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## SECTION I. INTRODUCTION

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### A. Background

The Office of Justice Programs (OJP) of the U.S. Department of Justice has a longstanding commitment to assist practitioners and policy makers in the field to develop effective approaches to manage sex offenders. This commitment has been expressed in a variety of ways, including: the sponsorship of research through the National Institute of Justice and the Office of Juvenile Justice and Delinquency Prevention; the use of Bureau of Justice Assistance funds, through the Edward Byrne Memorial Grant program, to support the implementation of specific programmatic efforts; and, most recently, through the convening of a national summit on this topic and the implementation of a national training and technical assistance effort.

In November 1996, OJP convened the National Summit: Promoting Public Safety Through the Effective Management of Sex Offenders in the Community. The Summit sought input from over 180 practitioners, academic researchers, and other experts regarding the most effective management strategies for this challenging offender population. Participants were also asked about the needs of their colleagues as they work together to make America's communities safer. In response to participants' recommendations, OJP, in collaboration with the National Institute of Corrections and the State Justice Institute, created the Center for Sex Offender Management (CSOM). (See Section D for a description of CSOM and its relationship to this grant program.)

In FY1999 OJP awarded 28 local, state, and tribal jurisdictions \$3.2 million in grant funding under the Comprehensive Approaches to Sex Offender Management Grant Program. In FY2000, OJP awarded twelve local, state and tribal jurisdictions \$1,326,442 in grant funding. OJP will continue its support for sex offender management initiatives in FY2001.

### B. Scope of the Problem

Sex offender management is of heightening concern to the nation. According to estimates from the U.S. Department of Justice, Bureau of Justice Statistics, approximately 234,000 sex offenders were under the care, control, or custody of correctional programs throughout the country in 1994, and of these, approximately 60 percent were under probation or parole supervision.<sup>1</sup>

In recent decades, increased attention to this offender population has led to many legislative, policy, and practice initiatives at the state and local level.

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<sup>1</sup> Greenfeld, L. (1997). *Sex Offenses and Offenders: An Analysis of Data on Rape and Sexual Assault*. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics.

Despite this increased focus and level of activity, there remains much to learn about the most effective approaches to sex offender management. Several critical needs have led to the development of the Comprehensive Approaches to Sex Offender Management Grant Program. These include:

- The need to encourage jurisdictions to focus their attention on this unique and challenging offender population;
- The need to assist jurisdictions as they work to expand and improve upon their existing array of sex offender management strategies;
- The need to provide information and resources that jurisdictions can use to assess their unique needs and utilize their resources;
- The need to document the array of approaches to sex offender management in use across the country; and
- The need to develop information on the potential effectiveness of those approaches.

The four primary goals of the Comprehensive Approaches to Sex Offender Management Grant Program are:

- To encourage jurisdictions to focus on juvenile and adult sex offenders under community supervision by engaging key stakeholders in a planning process that will build a base of knowledge regarding the practices currently employed by the jurisdiction, and encourage the development of a plan to build locally-tailored, collaborative, and comprehensive approaches to sex offender management;
- To assist jurisdictions as they implement plans for a comprehensive approach to sex offender management and/or to assist jurisdictions as they expand their existing array of sex offender management strategies;
- To document the practices, challenges, and successes of these planning processes and approaches; and
- To collect and evaluate information on existing practices and their outcomes.

### **C. Program Purposes**

This grant program is intended for state, local, and tribal communities interested in advancing their current policies and practices regarding the management of juvenile and/or adult sex offenders under community supervision. This program is administered by the Corrections Program Office (CPO) in OJP.



Through this initiative, CPO offers two categories of grant awards:

- **Planning Grants:** Approximately 12 state, local, and tribal jurisdictions will be selected on a competitive basis to develop a structured planning process in their jurisdiction. The purpose of the planning process is to encourage the examination of current sex offender management practices and to develop plans for a more comprehensive, systemic approach to this issue. Awards of up to \$50,000 will require that jurisdictions establish multidisciplinary teams to participate in two strategic planning workshops, identify and carry out a specific set of policy analysis activities, participate in peer to peer exchanges to learn from more experienced jurisdictions, and receive technical assistance and training as needed.
- **Implementation/Enhancement Grants:** Approximately 12 additional state, local, and tribal jurisdictions will be selected on a competitive basis to receive grants of \$50,000 to \$250,000, either to implement strategic plans that have already been developed or to enhance existing sex offender management strategies. Grant funds will enable the multidisciplinary teams representing these jurisdictions to participate in two national workshops on state-of-the-art approaches to sex offender management and to implement or enhance services or activities necessary to effectively manage those sex offenders under supervision in their communities.

**Applications for grant funds are due June 22, 2001.** Only one application per jurisdiction will be accepted (for either a Planning Grant or an Implementation/Enhancement Grant). However, multiple jurisdictions within a state may apply. Applicants are strongly encouraged to use the Grant Category Checklist in Section V to determine the grant category most appropriate for the jurisdiction.

#### **D. The Role of the Center for Sex Offender Management**

The Center for Sex Offender Management (CSOM) was established by the OJP, in collaboration with the National Institute of Corrections and the State Justice Institute to enhance public safety by preventing further victimization by improving the management of sex offenders in the community. CSOM is administered by the Center for Effective Public Policy, in partnership with the American Probation and Parole Association. CSOM's mission is carried out through the following five primary activity areas.

- **Training Initiatives:** CSOM designs and delivers training programs for probation and parole agencies, courts, treatment providers, victim advocates, and other key stakeholders throughout the country. CSOM provides intensive training workshops and seminars and is also developing a comprehensive training curriculum that will be made

available on a state, regional, and local basis.

- **Resource Sites Initiative:** CSOM is working closely with a limited number of multidisciplinary teams that represent a broad array of approaches to sex offender management and who have a capacity to serve as resources to others.
- **Technical Assistance:** CSOM provides technical assistance in a variety of forms to jurisdictions that are committed to establishing effective sex offender management strategies and wish to enhance the delivery of those strategies.
- **Information Exchange:** Through the information exchange, CSOM is collecting and disseminating information on emerging issues and practices in the field.
- ***Comprehensive Approaches to Sex Offender Management* Grant Program:** CSOM has been designated by CPO as the technical assistance and training provider for jurisdictions awarded planning and implementation/enhancement grants under this initiative. The initiative is designed to encourage jurisdictions to address the effective management of sex offenders under community supervision in a comprehensive, systemic, and collaborative manner.

CSOM will partner with CPO to support the activities of all grantees, and will design and deliver training and technical assistance to each site as needed. CSOM will also draw upon the lessons of participating jurisdictions and share these with other communities interested in learning more about effective sex offender management.

## **E. General Expectations**

Applicants selected to participate in this initiative must be prepared to do the following, if funded:

- Adhere to the administrative policies and procedures as outlined in the OJP Financial Guide.
- Submit the required reporting documents to OJP in an accurate and timely fashion. These documents include:
  - **Financial Status Reports:** Financial Status Reports (SF 269) are due quarterly within 45 days following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this

form in the initial award package. Future awards and fund drawdowns may be withheld if the required reports are delinquent.

- **Semi-Annual Progress Reports:** This report should provide information on the status of the design and/or implementation of the grant program. Reports for January through June and July through December of each year are due 30 days following the report period.
- Establish a collaborative team that will actively participate in the planning/implementation process of all grant activities through regular communications and meetings;
- Support and manage this collaborative team by designating experienced staff or consultants to facilitate the ongoing work of the group;
- Participate in planning workshops and other on and off-site technical assistance to further the applicant's work;
- Collaborate with CPO and CSOM staff to determine the level and type of assistance most likely to help the jurisdiction in meet its goals;
- Create and implement a work plan that specifically reflects the work of the jurisdiction; and
- Participate in the grant program's data collection effort and any evaluation efforts.

#### **F. Award Specifications**

The award period for each grant is 24 months. Each award category provides for the following grants at the specified dollar limits:

| <b>Grant Category</b>                     | <b>Number of Sites to be Selected</b> | <b>Award Amount Per Site</b> |
|---|---------------------------------------|------------------------------|
| <i>Planning Grants</i>                    | Approximately 12                      | Up to \$50,000               |
| <i>Implementation/ Enhancement Grants</i> | Approximately 12                      | Between \$50,000 - \$250,000 |



## SECTION II. ELIGIBILITY

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### A. Who is Eligible?

State, local, and tribal communities who are interested in assessing their specific needs to advance their sex offender management practices for juvenile and/or adult offenders are eligible to apply for these grants.

Applicants in varying stages of developing sex offender management strategies are eligible to apply. Applicants should review Sections III and V carefully to determine the most appropriate grant category for their jurisdiction.

Applicants are strongly encouraged to coordinate the submission of applications within their jurisdictions to ensure that agencies within a single jurisdiction are not competing against one another in the grant process.

The applicant must be a public sector agency and serve as grantee and as a single point of contact for grant administration and coordination.

Current FY1999 grant recipients under CPO's Comprehensive Approaches to Sex Offender Management Grant Program are eligible to apply for Implementation/Enhancement funds through this solicitation. FY1999 Implementation/Enhancement grantees are not eligible to apply for additional funds under this grant program. FY2000 grantees are also not eligible for additional funds in FY2001.

### B. Requirements for All Applicants

Applicants must meet the following requirements:

#### 1. Collaboration

All grantees must participate in a collaborative process throughout the grant period. For the purposes of this project, collaboration is defined as "the exchange of information, the altering of activities, the sharing of resources, and the enhancement of the capacity of all to achieve a common purpose."<sup>2</sup>

All grantees will be required to convene a multidisciplinary, collaborative team for the purposes of this project. All activities will be conducted within the context of that team. If there is no collaborative team currently in place that addresses sex offender management, applicants will be required to state the names and agencies of team members who will

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<sup>2</sup> Huxham, C. (1996). *Creating Collaborative Advantage*. SAGE Publications Ltd.

participate. Where such teams are already in place, applicants will be required to describe these teams in detail and discuss the addition of new members, if their inclusion is necessary, to meet the requirements noted below.

Applicants will be required to submit a Memorandum of Understanding among appropriate agencies to establish this team if such an agreement does not already exist. Teams should be comprised of all of the various disciplines involved in sex offender management, and **must** include (but not limited to):

- Sex offender specific treatment providers;
- Representatives from the supervision agency or agencies;
- Corrections officials;
- Law enforcement;
- Judges;
- Prosecutors;
- Representatives from a local non-governmental nonprofit victim advocacy organization; and
- A research coordinator.

In addition to the above required team members, jurisdictions should ensure that other appropriate stakeholders that can assist the site in achieving their goals are represented on the collaborative team. For example:

- Jurisdictions are strongly encouraged to include representatives from the criminal defense bar on their team.
- Particularly in the instance of those working with juvenile sex offenders, jurisdictions are encouraged to include school and social service representatives.
- Jurisdictions may also include polygraph examiners, members of the medical community, and others who influence, enhance, or are affected by the jurisdictions' sex offender management practices.
- Finally, jurisdictions may also consider including individuals who can assist the team in developing or incorporating strategies around sexual abuse prevention into the jurisdiction's sex offender management strategy.

*The Role of Corrections and Law Enforcement.* Establishing or enhancing a strategic approach to sex offender management, which spans the continuum from investigation to incarceration and through community supervision, also requires the inclusion of law enforcement and corrections officials. Jurisdictions should ensure that key individuals from these agencies are represented on the team, and are further encouraged to include the issue of offender pre-release planning and transition in their approach to sex offender management.

*The Role of the Victim Advocacy Community.* It is important for jurisdictions to address the essential role of victims and the victim advocacy community in the formulation and implementation of policies and practices regarding the management of sex offenders, and to consider methods to gain fuller involvement of this key community in such efforts.

*The Role of the Judiciary.* Jurisdictions should pay particular attention to the significant role the judiciary can play in the effective management of sex offenders, and the potential impact the use of judicial interventions might have on enhancing the likelihood of offender compliance. In particular, jurisdictions are encouraged to examine the more significant role judges have played in recent years in the management of offenders through drug courts, and apply relevant lessons from that arena to the management of sex offenders, as applicable.

*Team Members.* Individuals selected as team members should be those with the authority and responsibility for developing policy and influencing practice within the jurisdiction. Applicants who can demonstrate the active participation in, and commitment of, these individuals will receive preference in the review process. Each grantee will be expected to convene regular meetings of its collaboration team.

Members of the collaborative team will attend technical assistance and training events off-site. All members of the team will be expected to attend and participate in the ongoing meetings of the team on-site. These events and ongoing meetings will assist sites with the development of their strategic plans and/or their implementation processes. The membership of the team should remain consistent to address the planning or implementation process through the life of the grant. It is preferable that the same team members attend the national workshops; grantees must receive prior authorization from CSOM to substitute a team member for any training or technical assistance event.

## **2. Work Plans**

Each Planning Grantee must engage in a strategic planning process, to include the preparation of a work plan for the 24 month duration of the grant.

Each Implementation/Enhancement Grantee must create a work plan that addresses the implementation of the initiatives contained within its application. It is expected that the initial activities of the selected sites will include the refinement of the goals, tasks, outcome measures, and work plan contained within the application.

All applicants are required to include their initial work plan in their application. The role of each stakeholder should be clearly delineated.

Work plans must contain goals and objectives, detail what tasks will be taken on, and the time frame in which the tasks should be completed. This work plan must be agreed upon by the members of the collaboration team, and referenced in the Memorandum of Understanding.

### **3. Participation in CSOM Efforts**

All grantees are expected to work with CSOM in determining training and technical assistance needs on an ongoing basis; to maintain regular contact with CSOM staff; and to coordinate visits from CSOM staff. All grantees will be required to participate in two national workshops sponsored by CSOM, and to participate actively in on-site and off-site technical assistance.

### **4. Data Collection**

All applicants are required to actively participate in their site's data collection effort. See Section IV.

## **C. Restrictions**

**Risk Assessment** – Applicants are advised that no funds from this initiative will be directed to developing or validating risk assessment instruments.

**Institutionally Based Approaches** – This initiative is specifically designed to assist jurisdictions in the development and/or implementation of approaches to the management of sex offenders under community supervision. Applications requesting assistance to support strictly institutionally based efforts to manage sex offenders will not be considered. However, jurisdictions interested in planning for or implementing plans for transition of offenders from jail/prison to the community are encouraged to apply.



### **SECTION III. PROJECT FRAMEWORK**

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CPO is offering two categories of grants, each with varying expectations and requirements. These two categories are:

#### **A. Planning Grants**

Planning Grants are intended to assist jurisdictions in developing a collaborative approach to sex offender management. These jurisdictions must be willing to engage in a process through which they will critically assess their current policies and practices regarding the management of sex offenders under community supervision (if any) and develop a strategic plan to implement a comprehensive, systemic approach in their jurisdiction.

This grant is intended for state, local, and tribal communities who have identified sex offender management as a priority and are ready to initiate a planning process to focus on this concern. This award category is ideal for jurisdictions that have had little opportunity to work together on this topic in the past, and are committed to the careful consideration of strategies that may be effective in their jurisdictions.

The maximum funding that will be awarded for a Planning Grant is \$50,000. Funds for Planning Grants must be used to further the objectives of a strategic planning process. No matching funds are required for Planning Grants.

#### **B. Implementation/Enhancement Grants**

Implementation/Enhancement Grants are intended to assist jurisdictions that are interested in expanding and improving their current approach to sex offender management. These jurisdictions must be willing to engage in a collaborative process through which they will critically assess the gaps in their existing approach, and develop a plan to address those gaps and/or create enhancements. The Implementation/Enhancement Grant is ideal for those applicants that have already participated in a strategic planning process and are prepared to implement one or more components of their strategy, or to enhance their existing efforts.

The maximum funding that will be awarded for an Implementation/Enhancement Grant is \$250,000. Participation in this initiative requires a 25 percent match. In other words, the federal share of this project may not exceed 75 percent of the project's total cost. In-kind matching funds are acceptable, but must be applied to the project within the grant period.

## **C. Project Management**

Applicants are required to designate a Grant Coordinator. It is recommended that this individual be someone with sufficient knowledge, experience and authority within the jurisdiction to convene the team and manage the work process. Applications will be assessed for their viability on this basis; thus applicants should describe this individual in some detail and demonstrate their ability to serve in this capacity, both in terms of their skill and their time availability. Applicants can allocate a portion of their budget for this individual.

In addition, applicants must designate a Grant Manager. This individual will serve as the agency's point of contact for OJP, and will be responsible for ensuring the agency's compliance with OJP administrative policies and procedures as well as ensuring the timely and accurate submission of the required reporting documents. Applicants may opt to appoint one individual to serve as both Grant Coordinator and Grant Manager.

## SECTION IV. DATA COLLECTION EXPECTATIONS

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### **A. Goals**

All grantees must identify a Research Coordinator who will serve as an active, ongoing member of the project team and must agree to undertake a dynamic data collection and analysis process. The data collection effort will guide the grantee in their work. CSOM will be responsible for synthesizing key learnings that emerge from the work of the grant sites. Project sites will assume the role of "learning centers," contributing to the larger body of knowledge on sex offender management approaches.

The goals of the data collection effort within each site are:

- To provide to grantees, throughout the course of the project, information and data on current practices, resources and programs, target populations, needs, and outcomes;
- To provide to grantees, throughout the course of the project, information and data on the activities of their planning and implementation processes; and
- To institutionalize the capacity, within each participating jurisdiction, to continue this work beyond the grant period.

The goals of the project's information collection effort are:

- To build an information base that defines the target populations and describes the variety of approaches to sex offender management in use around the country; and
- To begin to assess the impact of these approaches from a local and national perspective.

### **B. Role of the Research Coordinator**

The Research Coordinator is responsible for the coordination of data and research efforts for the site. The role of the Research Coordinator is to:

- Assist the team's work by developing and implementing methods to gather and analyze the jurisdiction's data in order to inform the policy development and planning process;
- Challenge the thinking of teams as they consider various approaches to sex offender management and the assumptions and hypotheses underpinning these;

- Build a local infrastructure for the ongoing monitoring and evaluation of policies and practices; and
- Become a working partner with other participating project sites in the collection of data and information.

### **C. Qualifications of the Research Coordinator**

The role of the Research Coordinator may be filled in several ways, including designating an existing or new staff person, accessing a local university affiliate, or hiring a consultant. The Research Coordinator should be an active and vital member of the collaborative team and have sufficient time to serve in this capacity. Further, the Research Coordinator must have the technical abilities to carry out this role, with experience in social science data collection, research methods, and evaluation design. An individual whose typical duties provide him/her with an opportunity to conduct system wide analysis is best suited to fill this role. The specific individual identified in the application to fill this role, or the process outlined within the application to identify such an individual, will be carefully considered in the application review process.

### **D. Planning Grants**

**Purpose** – Planning grantees will be required to identify and work with a Research Coordinator as an active member of the project team. Planning grantees will also be required to participate in a data collection process to be coordinated by CSOM that will assist the project team in identifying their target population, assessing their current practices, and providing essential information to the team to assist them in their decision making and strategic-planning process. The basic data and information to be collected will include:

- Data and information to document the implementation of a collaborative planning process; and
- Data and information about current practice, resources, programs and the offender population in their jurisdiction.

Planning grantees will be required to describe the activities of their planning process by maintaining project development logs (submitted monthly to CSOM), and through the OJP progress reporting process, including a final project summary report. The final summary report will include a summary of the project development logs, a summary of the data and information collected and the analyses and conclusions drawn from the data, and an implementation plan. Planning Grant recipients will also be required to participate in structured interviews conducted by CSOM project staff at designated intervals throughout the grant period to monitor the collaborative planning process.

## **E. Implementation/Enhancement Grants**

**Purpose** – Implementation/Enhancement grantees will be required to identify and work with a Research Coordinator as an active member of the project team. Implementation/ Enhancement grantees will also be required to participate in a data collection process to be coordinated by CSOM, for the purpose of gathering and synthesizing information on the delivery of sex offender management services and their outcomes. It is anticipated that this data will be useful in three regards:

- The data will inform the decisions made by the jurisdiction about their future needs and the outcomes their activities;
- The data will be used by CSOM to develop descriptions of a range of sex offender management strategies in use across the country; and
- The data collection process will build the local capacity of the participating jurisdiction to conduct ongoing monitoring and analysis of their sex offender management strategies.

Implementation/Enhancement grantees will be required to describe the activities of their implementation/enhancement process by maintaining project development logs (submitted monthly to CSOM), and through the OJP progress reporting process, including a final project summary report. The final summary report will include a summary of the project development logs, a summary of offender data, offender progress (if applicable), program information and other data, and a continuation, monitoring and evaluation, or enhancement plan. Further, implementation/enhancement grantees will be required to participate in structured interviews conducted by CSOM project staff at designated intervals throughout the grant period to monitor their implementation or enhancement process.

## **F. Type of Data Collection**

To enable participating jurisdictions to gain a better understanding of their sex offender management approaches, and to assist CSOM in understanding the state of practice across a wide number of jurisdictions, grantees will be required to collect a variety of data. This information will include:

- Information on the numbers and types of sex offenders flowing through the criminal justice system, the disposition of their cases, and the outcomes of various interventions. Jurisdictions will be encouraged to utilize process or system mapping to collect and analyze this data.
- Offender background data (such as prior criminal justice contacts, offense-specific behaviors, and treatment interventions) will be required.

These data will be collected from individual contacts as well as from official records. Additional information may be collected on site-specific programmatic activities where warranted.

- Information describing the activities of the planning and implementation process by maintaining project development logs, and through the progress reporting process, including a final project summary report. Grantees will also be required to participate in structured interviews conducted by CSOM project staff at designated intervals throughout the grant period to monitor the collaborative planning and/or implementation process.

**CSOM Assistance** – CSOM will be coordinating the efforts of all grantees as they participate in the structured data collection process. CSOM staff will meet with designated data collection staff from each site at two national workshops and on a continuing basis. In addition, Research Coordinators and Grant Coordinators will participate in a technical assistance workshop specifically addressing the design and implementation of the data collection process. This technical assistance workshop may occur in combination with, or in addition to, other workshops convened for grantees.

**Budgetary Considerations** – While the resources required to carry out this effort are expected to vary by size of the jurisdiction, applicants are encouraged to assume that this effort will require, at minimum, the designation of a half-time person.

Grantees will be expected to devote sufficient staff resources from grant funds to successfully participate in the data collection effort. Applicants should set aside travel funds for the Grant Coordinator and Research Coordinator designated to travel to two national workshops (along with other members of the collaborative team). These workshops will provide grantees with the opportunity to focus on issues concerning their data collection effort. All workshops will be conducted over the course of the 24 month grant period.

## SECTION V. GRANT CATEGORY CHECKLIST

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Applicants should consider the following criteria to determine which grant category is the most appropriate for their jurisdiction.

Applicants eligible for a Planning Grant must demonstrate:

- ☐ Support from their criminal justice system and a commitment to participate in such an initiative;
- ☐ Collaboration among a multidisciplinary team of stakeholders in the jurisdiction who are committed to improving sex offender management practices.
- ☐ Cooperation between these and other key stakeholders to examine current practices and consider their enhancement;
- ☐ Commitment to learn from the data collection and analysis process; and
- ☐ Commitment to the ongoing monitoring and refinement of activities through the team process, and to report on these activities through project development logs, progress reports, and a final project report.

Applicants eligible for an Implementation/Enhancement Grant must meet all the above requirements, as well as:

- ☐ Participate (prior to applying) in a strategic planning process, that identifies specific needs and implementation strategies to enhance existing approaches;
- ☐ Illustrate that collaboration has been in place and demonstrate their commitment to continue it;
- ☐ Identify the jurisdiction's current needs, and be able to translate those needs into clearly articulated goals and objectives;
- ☐ Show support within their jurisdiction to expand their current initiatives and ensure the jurisdiction's commitment to enhancing current efforts through the addition of new resources (e.g. funds, staff, and technical assistance.)
- ☐ Outline an approach to collecting data on the sex offender population, and the management of sex offenders; and
- ☐ Agree to participate in a national data collection process.





## SECTION VI. PLANNING GRANT APPLICATION CONTENT

**Attention:** *If you are applying for an Implementation/Enhancement Grant, stop and go to Section VII to complete the application specific for that category of grants.*

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### Applying Online

The deadline for submitting applications for FY2001 Comprehensive Approaches to Sex Offender Management Grant Program is 12:00 a.m. EST, **June 22, 2001**. Applications must be submitted online through OJP's GMS. Instructions for using GMS are provided in the beginning of this application booklet under Quick Start Guide to Using GMS. Note: As it can take several days to approve registrations, it is recommended that you register with GMS as soon as possible. This will provide ample time to verify that your computer hardware and software are compatible with GMS.

GMS cannot accept the Memorandum of Understanding. This document should be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. All faxed documents must include the application number that is issued by GMS once the application is submitted (See Quick Start Guide).

1. ***Application for Federal Assistance (SF-424) (Appendix B):*** The SF-424 will be completed online through GMS. The Catalog of Federal Domestic Assistance number for this Program is 16.008 and the title is Comprehensive Approaches to Sex Offender Management Grant Program (block 10 on the SF-424).
2. ***Abstract (not to exceed two pages):*** The abstract should include the following: the name of the applying agency; an indication that an application for a Planning Grant is being made; a list of the collaborative team members (including names and agencies); and a brief summary of the following (more detailed descriptions are asked for in subsequent sections of the application):
  - the community to which the proposed project will be directed (statewide, the county of X, the city of X, etc.);
  - the offender population the proposed project would serve (adult or juvenile and the number of offenders in the proposed community);
  - the need for the project/the problem to be addressed by the project;
  - the proposed planning process; and
  - how the budget supports the activities of the proposed planning process.

A sample Abstract can be found in Appendix E.

3. ***Program Narrative:*** The Program Narrative should be no longer than necessary, but should in no case exceed fourteen (14) pages. The Program Narrative should include the following information, in the order presented below:

**A. Need for the Project (not to exceed two pages):**

- 1) Describe the problem to be addressed by this project and justify why this is an important and critical issue to your jurisdiction.
- 2) State the reason your jurisdiction should be selected to participate in this initiative, and what motivated your jurisdiction to apply for this grant.
- 3) Describe the volume and type of sex offending cases in your jurisdiction.
- 4) Justify why the Planning Grant is the most appropriate grant category for your jurisdiction.

**B. Jurisdiction Specifications (not to exceed two pages):**

- 1) Describe the community in which the proposed program would take place, including location, population, the nature of the jurisdiction (e.g. rural, urban, etc.), and other relevant demographic information.
- 2) Discuss the strengths and challenges of your community vis á vis sex offender management.

**C. What Will Be Done (not to exceed five pages):**

- 1) Provide evidence of your commitment to the strategic planning process and describe the efforts of the collaboration team in this planning process (i.e. how often the team would meet, etc.).
- 2) Provide a clear description of the goals and objectives of your proposed project, focusing on the specific tasks and activities necessary to implement such a proposal.

**D. Who Will Implement the Project (not to exceed three pages):**

- 1) Indicate the designated public sector agency responsible for the proposed project.
- 2) Describe the collaboration team (described in Section II-B) and fully articulate the relationship of the collaborating agencies. Indicate if this is a newly formed team or if there is a history of

collaboration among team members.

3) Address the staffing/management structure that is or will be in place to enhance the likelihood of the project's success (see Section II-B-1 and III-C for additional information). This section should also specifically address the staff person who will be responsible for the collection and analysis of this data (see Section IV-B, C for additional information).

4) Provide a Memorandum of Understanding as an appendix to the application to document the applicant's commitment to collaboration. The Memorandum should clearly articulate the goals and objectives of the jurisdiction's initiative. It should include a statement about the mission of the collaborative team, the membership of that team, a description of the working relationship among team members, and each member's duties and responsibilities. The Memorandum should be a single document, on agency letterhead, signed by all members of the team. An example of what should be addressed and included in the Memorandum can be found in Appendix F. However, jurisdictions are encouraged not to simply copy the language in the sample MOU. The MOU is a critical component of the application and as such, care should be taken to ensure it accurately reflects the goals and activities of the applicant jurisdiction. GMS cannot accept the Memorandum of Understanding. It should be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. All faxed documents must include the application number that is issued by GMS once the application is submitted (See Quick Start Guide).

**E. Related Federal Projects (not to exceed two pages):**

To facilitate better coordination among other Federal agencies, each applicant must show how the proposed project would complement other initiatives supported with Federal funds. Applicants are required to provide the following information in the application:

1) A list of active Federal grant awards (from the Department of Justice or other Federal agencies) already supporting this or related efforts<sup>3</sup>, including the program/project title, the Federal grantor agency, the Federal award amount, and a very brief

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<sup>3</sup> A related effort is defined for these purposes as another phase or component of the same program/project (i.e., to implement a planning effort funded by other Federal monies); the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants); and/or providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in this application.

description of its purpose.

2) Information on any pending application/s for Federal money for this or related efforts; and

3) How these would be coordinated with the funding sought through this application.

4. **Budget:** Each application must include a detailed budget and budget narrative for the project. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis for the computation of all project-related costs. It should cover the cost of all components of the project and clearly identify costs attributable to the project evaluation. There must be a clear link between the proposed activities and the proposed budget items. A match is not required for the grant program, but applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects where possible.

Supplemental contributions may be cash, in-kind services, or a combination of both; however, match contributions should not be included in the budget or budget narrative. Consultant rates in excess of \$450 per day require prior approval by the Corrections Program Office. A Budget Detail Worksheet and Sample Budget Detail Worksheet have been included in Appendix F for your use. The budget should describe clearly:

- A. The proposed amount and uses of grant funds over the grant period; and
- B. How the amounts of the specific budget items were determined.

Applicants must budget funds to bring five to eight key members of the collaboration team (including the Grant Coordinator and Research Coordinator), representing various critical agencies, to a national event twice, for a three-day duration over the course of the project period. The budget should specifically identify which team members will attend and budget for them accordingly. These project meetings will be team-based events. Teams proposed for these workshops should be representative and complete, but not excessive. As previously stated, the same team members should attend both workshops.

Applicants should budget for an additional day at each of the national workshops for the Grant Coordinator, and an additional day at the technical assistance meeting (focused on the data collection effort) for the Research Coordinator to attend.

5. ***Assurances (Form 4000/3) (Appendix C) and Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drugfree Workplace Requirement:*** (Form 4061/6) (Appendix D). Review the enclosed forms. Applicants must agree to these assurances and certifications when submitting an application online through the Grants Management System. If the authorizing official is not the individual submitting the application in the GMS system, be sure the correct authorizing official information has been entered.
6. ***Memorandum of Understanding (MOU):*** An MOU must be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. Include the application number on all materials submitted by fax.

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## PLANNING GRANT APPLICATION CHECKLIST

A fully executed application consists of the components listed below:

- ☐ **Application for Federal Assistance (Form SF-424)**
- ☐ **Abstract**
- ☐ **Program Narrative**
- ☐ **Budget Detail Worksheet**
- ☐ **Assurances and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drugfree Workplace Requirements (OJP Form 4000-3)** Applicants must agree to these assurances and certifications when submitting an application online through the GMS System. (Note: If the authorizing official is not the individual submitting the application in the GMS system, be sure the correct authorizing official information has been entered.)
- ☐ **Memorandum of Understanding** – A single document that reflects the collaboration among all project participants and includes signatures from all proposed team members. (An MOU must be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program.) Include the application number on all materials submitted by fax.

## SECTION VII. IMPLEMENTATION/ENHANCEMENT GRANT APPLICATION CONTENT

*Attention: If you are applying for a Planning Grant,  
stop and turn to Section VI to complete the application specific for that category of grants.*

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### Applying Online

The deadline for submitting applications for FY2001 Comprehensive Approaches to Sex Offender Management Grant Program is 12:00 a.m. EST, **June 22, 2001**. Applications must be submitted online through OJP's GMS. Instructions for using GMS are provided in the beginning of this application booklet under Quick Start Guide to Using GMS. Note: As it can take several days to approve registrations, it is recommended that you register with GMS as soon as possible. This will provide ample time to verify that your computer hardware and software are compatible with GMS.

GMS cannot accept the Memorandum of Understanding. This document should be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. All faxed documents must include the application number that is issued by GMS once the application is submitted (See Quick Start Guide).

1. ***Application for Federal Assistance (SF-424) (Appendix B):*** For purposes of the SF-424, the Catalog of Federal Domestic Assistance for this Program is 16.008 and the title is Comprehensive Approaches to Sex Offender Management Grant Program.
  
2. ***Abstract (not to exceed two pages):*** The abstract should include the following: the name of the applying agency; an indication that an application for an Implementation/ Enhancement Grant is being made; a list of the collaborative team members (including names and agencies); and a brief summary of the following (more detailed descriptions are asked for in subsequent sections of the application):
  - the community to which the proposed project will be directed (statewide, the county of X, the city of X, etc.);
  - the offender population the proposed project would serve (adult or juvenile and the number of offenders in the proposed community);
  - the need for the project or problem to be addressed by the project;
  - the proposed implementation process; and
  - how the budget supports the activities of the proposed planning process.

A sample Abstract can be found in Appendix E.

3. ***Program Narrative:*** The Program Narrative should be no longer than necessary, but should in no case exceed twenty-one (21) pages. The Program Narrative should include the following information, in the order presented below:

**A. Need for the Project (not to exceed two pages):**

- 1) Describe the problem to be addressed by this project and justify why this is an important and critical issue to your jurisdiction.
- 2) State the reason your jurisdiction should be selected to participate in this initiative and what motivated your jurisdiction to apply for this grant.
- 3) Describe the volume and type of sex offending cases in your jurisdiction.
- 4) Justify why the Implementation/Enhancement Grant is the most appropriate grant category for your jurisdiction.

**B. Jurisdiction Specifications (not to exceed eight pages):**

- 1) Describe the community in which the proposed program would take place, including location, population, the nature of the jurisdiction (e.g. rural, urban, etc.), and other relevant demographic information.
- 2) Describe the basic components of your current sex offender management program. Describe your sex offender supervision and treatment programs. Detail how the programs are accessed, the eligibility requirements, the nature of the relationship between organizations, how the programs are funded, how confidentiality issues are handled, underlying goals and purposes of the approach, and how risk level is assessed for the purposes of supervision. Address the strengths of the current approach, detailing how victim safety and offender accountability are enhanced as a result. Also address the existing gaps in your approach that diminish your capability to manage sex offenders effectively.

**C. What Will Be Done (not to exceed six pages):**

- 1) Demonstrate that strategic planning around the issue of sex offender management has already occurred, and provide evidence of your commitment to continue the strategic planning process.
- 2) Describe the efforts of the collaboration team in this planning process (i.e. how often the team has met and will meet, etc.).



3) Provide a clear description of the goals and objectives of your proposed project, focusing on the specific tasks and activities necessary to implement such a proposal.

4) Describe the criteria that would be used to document the project's outcomes. Describe the current data system, including a description of the internal capability for programming, writing reports, and performing analyses. This section also should articulate the proposed data collection and analysis techniques. The data collection effort should be designed to provide an objective assessment of the activities performed.

**D. Who Will Implement the Project (not to exceed three pages):**

1) Indicate the designated public sector agency responsible for the implementation of the proposed project.

2) Describe the collaboration team (described in Section II-B) and fully articulate the relationship of the collaborating agencies.

3) Provide documentation of the collaboration that has previously occurred around the topic of sex offender management. Reference all of the regular team members and provide concise, specific examples of the outcomes of your work together on this issue.

4) Describe the staffing/management structure that is or will be in place to enhance the likelihood of the project's success (see Section II-B-1 and III-C for additional information). This section should also specifically address the staff person who will be responsible for the collection and analysis of this data (see Section IV-B, C for additional information).

5) Provide a Memorandum of Understanding as an appendix to the application to document the applicant's commitment to collaboration. The Memorandum should clearly articulate the goals and objectives of the jurisdiction's initiative. It should include a statement about the mission of the collaborative team, the membership of that team, and a description of the working relationship among team members. The Memorandum should be a single document, on agency letterhead, signed by all members of the team. An example of what should be addressed and included in the Memorandum can be found in Appendix F. However, jurisdictions are encouraged not to simply copy the language in the sample MOU. The MOU should be considered a critical component of the application. Care should be taken to ensure it accurately reflects the goals and activities of the applicant jurisdiction. GMS cannot accept the Memorandum of

Understanding. It should be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. All faxed documents must include the application number that is issued by GMS once the application is submitted (See Quick Start Guide).

**E. Related Federal Projects (not to exceed two pages):** To facilitate better coordination among other Federal agencies, each applicant must show how the proposed project would complement other initiatives supported with Federal funds. Applicants are required to provide the following information in the application:

1) A list of active Federal grant awards (from the Department of Justice or other Federal agencies) already supporting this or related efforts<sup>4</sup>, including the program/project title, the Federal grantor agency, the Federal award amount, and a very brief description of its purpose;

2) Information on any pending application/s for Federal money for this or related efforts; and

3) How these would be coordinated with the funding sought through this application.

**4. Budget:** Each application must include a detailed budget and budget narrative for the project. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis for the computation of all project-related costs. It should cover the cost of all components of the project and clearly identify costs attributable to the project evaluation. There must be a direct link between the proposed activities and the proposed budget items.

A 25% match is required for this grant program, and the federal funding for this project may not exceed 75 percent. Contributions may be cash, in-kind services, or a combination of both. Consultant rates in excess of \$450 per day require prior approval by the Corrections Program Office. A budget Detail Worksheet and Sample Budget Detail Worksheet have been included in Appendix F for your use. The budget should describe clearly:

A. The proposed amount and uses of grant funds over the grant period; and

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<sup>4</sup> A related effort is defined as: another phase or component of the same program/project (e.g., to implement a planning effort funded by other Federal monies); the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants); and/or providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in this application.

B. How the amounts of the specific budget items were determined.

Applicants must budget funds to bring five to eight key members of the collaboration team (including the Grant Coordinator and Research Coordinator), representing various critical agencies, to Washington, D.C. twice for a three-day duration over the course of the project period. The budget should specifically identify which team members will attend and budget for them accordingly. These project meetings will be team-based events. Teams proposed for these workshops should be representative and complete, but not excessive. As previously stated, the same team members should attend both workshops.

Applicants should budget for an additional day at each of the national workshops for the Grant Coordinator, and an additional day at the technical assistance meeting (focused on the data collection effort) for the Research Coordinator to attend.

5. ***Assurances (Form 4000/3) (Appendix C) and Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drugfree Workplace Requirement:*** (Form 4061/6) (Appendix D). Review the enclosed forms. Applicants must agree to these assurances and certifications when submitting an application online through the Grants Management System. Note: If the authorizing official is not the individual submitting the application in the GMS system, be sure the correct authorizing official information has been entered.
6. ***Memorandum of Understanding (MOU):*** An MOU must be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program. Include the application number on all materials submitted by fax.



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## IMPLEMENTATION/ENHANCEMENT GRANT APPLICATION CHECKLIST

A fully executed application consists of the components listed below:

- ☐ **Application for Federal Assistance (Form SF-424)**
- ☐ **Abstract**
- ☐ **Program Narrative**
- ☐ **Budget Detail Worksheet**
- ☐ **Assurances and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drugfree Workplace Requirements (OJP Form 4000-3)** Applicants must agree to these assurances and certifications when submitting an application online through the GMS System. (Note: If the authorizing official is not the individual submitting the application in the GMS system, be sure the correct authorizing official information has been entered.)
- ☐ **Memorandum of Understanding** – A single document that reflects the collaboration among all project participants and includes signatures from all proposed team members. (An MOU must be faxed to CPO at (202) 307-2019, to the attention of the Comprehensive Approaches to Sex Offender Management Grant Program.) Include the application number on all materials submitted by fax.

## **SECTION VIII. REVIEW PROCESS**

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### **A. Review Panel**

A review panel, consisting of experts and practitioners, will evaluate all applications. The panel will make funding recommendations for those applications that present the greatest likelihood to achieve the proposed goals. Based on the panel recommendations and staff analyses of the applications, the Assistant Attorney General of the Office of Justice Programs will make the final funding decisions.

### **B. Selection Criteria**

The review panel will evaluate all applications on the basis of the following criteria:

- The application clearly exhibits a commitment to collaboration, including meaningful collaboration with nonprofit, non-governmental victim services organizations;
- The application identifies a problem that is consistent with the purposes of this initiative;
- The application describes a project that effectively addresses the problem statement;
- The application convincingly demonstrates that the members of the collaboration team will participate actively in the project, including team meetings, technical assistance, training and workshop events;
- The planning and implementation strategy, time line, and capability of the organization and staff are sound;
- The project demonstrates meaningful attention to the safety of victims of sex offenses and would hold offenders accountable for their criminal behavior;
- The application identifies specific individuals, or a process to identify individuals, to serve as the Grant Coordinator and Research Coordinator for the effort, and demonstrates the skills, roles and involvement of these individuals; and
- The budget is reasonable as it relates to project activities.

**SECTION IX.  
FURTHER INFORMATION**

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**A. Questions About this Grant Program**

Questions regarding this application or any of its content should be directed to:

Corrections Program Office  
Office of Justice Programs  
810 7th Street, NW  
Washington, DC 20531-0001  
Phone: (202) 307-3914  
Fax: (202) 307-2019  
Internet: [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov)

**B. CSOM Information**

Applicants interested in learning more about the Center for Sex Offender Management may contact:

Paul Herman  
Senior Manager  
Center for Sex Offender Management  
1412 Greenberry Road  
Jefferson City, MO 65101  
Phone: (573) 632-6554  
Fax: (573) 632-6548  
E-mail: [pherman@cepp.com](mailto:pherman@cepp.com)

## SECTION X. ADMINISTRATIVE REQUIREMENTS FOR APPLICANTS

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### A. General Requirements

Single Points of Contact Review: Executive Order 12372 requires applicants from State and local government units or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC) (if one exists) if this program has been selected for review by the State. The State Single Points of Contact are listed in Appendix G of this application kit. Applicants must contact their SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC, or the reason such submission is not required, should be entered in block 16 on the Application for Federal Assistance, SF-424.

If the SPOC requires a copy of the application, the applicant should also send the original application and six bound copies to the Office of Justice Programs.

1. **Civil Rights Requirements:** All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. Specifically, the statute that governs OJP-funded programs or activities (Section 809(c), Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3789d) prohibits such discrimination, as follows:

No person in any State shall on the ground of race, color, religion, national origin, sex [or disability]\* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

\* Section 504 of the Rehabilitation Act of 1973 prohibits identical discrimination on the basis of disability.

If funded, grantees must acknowledge that failure to submit an acceptable Equal Employment Opportunity Plan (if the grantee is required to submit one pursuant to 28 CFR 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in the suspension of the drawdown of funds.

If any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the findings to the OJP Office of Civil Rights.



2. **Eligibility for Employment in the United States:** Organizations funded through this Program must agree to complete and keep on file, as appropriate, the Immigration and Naturalization Service Employment Eligibility Form (I-9). This form is to be used by the recipient of Federal funds to verify that persons employed by the recipient are eligible to work in the United States.

## **B. Financial Requirements**

1. **Grant Funds Must Supplement and Not Supplant:** The grantee will be required, in their award acceptance documents, to sign a special condition certifying that Federal funds will be used to supplement existing funds and not replace funds that have been appropriated for the same purpose. For example, if a grantee, prior to submitting an application, had committed to develop and implement a program, then the grantee must make those dollars available in addition to those requested under this Program. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.
2. **Audit Requirement:** State and Local Government and Non-Profit Organizations are now governed by OMB Circular A-133, titled "Audits of States, Local Governments and Non-Profit Organizations." In July 1996, the President signed an amendment to the Single Audit Act of 1984 which: (1) mandates one audit circular for both State and local governments, institutions of higher education, and other non-profit organizations; (2) raises the audit threshold for all entities to \$300,000 of Federal funds expended (this requirement is effective for audits conducted of fiscal years beginning on or after July 1, 1996); and (3) requires the submission of the audit report within nine (9) months from the end of the audit cycle (this requirement is effective for audits conducted of fiscal years beginning on or after July 1, 1998).
3. **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drugfree Workplace Requirement:** Applicants should review and sign the certification form included in this application kit after carefully reading the instructions provided with the forms. Signing this form commits the applicants to compliance with the certification requirements under 28 C.F.R. Part 69, "New Restrictions on Lobbying," and 28 C.F.R. Part 67, "Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drugfree Workplace (Grants)." The certification will be treated as a material representation of fact upon which reliance will be placed by the U.S. Department of Justice in awarding grants.

- 4. Suspension or Termination of Funding:** The Office of Justice Programs may suspend, in whole or in part, terminate funding for, or impose another sanction on a grantee for the following reasons:
- Failure to comply substantially with the requirements or statutory objectives of the Violent Crime Control and Law Enforcement Act of 1994, program guidelines issued thereunder, or other provisions of Federal law;
  - Failure to make satisfactory progress toward the goals or strategies set forth in this application;
  - Failure to adhere to the grant requirements, special conditions, or policies and procedures as outlined in the OJP Financial Guide;
  - Implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
  - Failure to submit reports; or
  - Filing a false certification in this application or other report or document.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 C.F.R. part 18.

**SECTION XI.**  
**REPORTING REQUIREMENTS FOR APPLICANTS**

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**Reporting Requirements**

1. **Progress Reports:** Reports are prepared twice a year and are used to describe the performance of activities or the accomplishment of objectives as set forth in the approved award application. Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. The awarding agency may opt, by special condition to the award, to combine the first report into the subsequent reporting period. For example, if the begin date on the award is June 1, the awarding agency may opt to receive the first report 30 days after the December 31 reporting period.

A final report, which provides a summary of progress toward achieving the goals and objectives of the grant, significant results, and any products developed under the grant, is due 90 days after the end date of the grant. Report forms will be provided to the grantee by the Office of Justice Programs.

2. **Financial Status Reports:** Financial status reports (SF-269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted for every quarter the award is active. The Office of the Comptroller will provide a copy of this form in the initial award package. In lieu of using the SF-269A report, recipients may satisfy the financial reporting requirements by completing the Financial Status Report Turnaround Document. This document is a facsimile of the SF-269A report created with information extracted from the awarding agency's computer files. The Office of the Comptroller sends this document directly to each grantee. If a "Turnaround Document" is not received, the SF-269A must be submitted by the due date.

Future awards and fund drawdowns may be withheld if the progress, financial and audit reports are delinquent.

## **Appendix A**

### **Special Conditions**

## SPECIAL CONDITIONS

*In accepting this award, the applicant agrees to the following special conditions:*

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.<sup>5</sup>
2. The recipient acknowledges that failure to submit an acceptable Equal Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.
3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, as further described in the current edition of the Financial Guide, Chapter 19.
4. The recipient agrees to use funds for those purposes identified in its application. If the use of funds changes from that originally proposed, the recipient agrees to submit an amended program plan, and to obtain written approval of that plan. Any funds expended prior to written approval of an amended program plan may be determined to be an unallowable use of grant funds.
5. The recipient agrees to participate in a dynamic data collection and analysis process.
6. Within 90 days of this award, the recipient agrees to submit a workplan that specifically describes the work of the project. The workplan must contain goals, objectives, tasks, and a time frame for completion of the tasks. Members of the collaboration team must agree on the workplan.
7. The recipient agrees to collaborate and maintain regular contact with the Corrections Program Office, Office of Justice Programs and the Center for Sex Offender Management to determine the level and type of assistance needed and to coordinate site visits.
8. The recipient agrees that grant funds will not be used to develop or validate risk assessment instruments.
9. Within 90 days of this award, the recipient shall submit to the Corrections Program Office a Memorandum of Understanding (MOU) that reflects the goals and objectives of the project and lists the roles and contributions of the participating agencies. The MOU must be signed by the Chief Executive Office of each collaborating agency. The grantee also agrees to notify the Corrections Program Office of any change in collaborating agency partners or

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<sup>5</sup>The OJP Financial Guide may be accessed at [www.ojp.usdoj.gov/oc/](http://www.ojp.usdoj.gov/oc/)

individuals.

## **Appendix B**

### **Standard Application Form (SF-424)**

OMB Approval No. 0348-0043

| 1. TYPE OF SUBMISSION:   |             | 2. DATE SUBMITTED  |  | Applicant identifier         |  |
|--|-------------|--|--|------------------------------|--|
| Application<br><input type="checkbox"/> Construction<br><input type="checkbox"/> Non-Construction  |             | 3. DATE RECEIVED BY STATE  |  | State Application Identifier |  |
| Preapplication<br><input type="checkbox"/> Construction<br><input type="checkbox"/> Non-Construction   |             | 4. DATE RECEIVED BY FEDERAL AGENCY   |  | Federal Identifier           |  |
| 5. APPLICANT INFORMATION   |             |  |  |                              |  |
| Legal Name:  |             |  | Organizational Unit:   |                              |  |
| Address (give city, county, state and zip code):   |             |  | Name and telephone number of the person to be contacted on matters involving the application (give area code)  |                              |  |
| 6. EMPLOYER IDENTIFICATION (EIN)<br>[ ][ ] - [ ][ ][ ][ ][ ][ ][ ][ ][ ]   |             |  | 7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/><br>A. State<br>B. County<br>C. Municipal<br>D. Township<br>E. Interstate<br>F. Intermunicipal<br>G. Special District<br>H. Independent School Dist.<br>I. State Controlled Institution of Higher Learning<br>J. Private Industry<br>K. Indian Tribe<br>L. Individual<br>M. Profit Organization<br>N. Other (specify): _____ |                              |  |
| 8. TYPE OF APPLICATION:<br><input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision<br>If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/><br>A. Increase Award B. Decrease Award C. Increase Duration<br>D. Decrease Duration Other (specify): _____ |             |  | 9. NAME OF FEDERAL AGENCY:   |                              |  |
| 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: [ ][ ] - [ ][ ][ ][ ]<br>TITLE:   |             |  | 11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:   |                              |  |
| 12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):  |             |  |  |                              |  |
| 13. PROPOSED PROJECT:  |             | 14. CONGRESSIONAL DISRICTS OF:   |  |                              |  |
| Start Date   | Ending Date | a. Applicant   |  | b. Project                   |  |
| 15. ESTIMATED FUNDING:   |             | 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?   |  |                              |  |
| a. Federal   | \$ .00      | a. YES. THIS PREAPPLICATION/APPLICATIN WAS MADE A VAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:<br>DATE _____ |  |                              |  |
| b. Applicant   | \$ .00      | b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372   |  |                              |  |
| c. State   | \$ .00      | <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW  |  |                              |  |
| d. Local   | \$ .00      |  |  |                              |  |
| e. Other   | \$ .00      |  |  |                              |  |
| f. Program Income  | \$ .00      | 17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?   |  |                              |  |
| g. TOTAL   | \$ .00      | <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No  |  |                              |  |
| 18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED   |             |  |  |                              |  |
| a. Typed Name of Authorized Representative   |             | b. Title   |  | c. Telephone number          |  |
| d. Signature of Authorized Representative  |             |  |  | e. Date Signed               |  |



## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

| Item | Instructions   |
|------|--|
| 1    | Type of Submission: If this proposal is not for construction or building purposes, check the "Non-Construction" box in the application section.  |
| 2    | Date Submitted: Indicate the date you sent the application to OJP. The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.   |
| 3    | Date Received by State: Leave blank. This item is completed by the State single point of contact, if applicable.   |
| 4    | Date Received by Federal Agency: Leave blank. This item will be completed by OJP.  |
| 5    | Applicant Information: The "Legal Name" is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below. |
| 6    | Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.  |
| 7    | Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering "consortium".   |
| 8    | Type of Application: Check either "new" or "continuation". Check "new", if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation", if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.   |
| 9    | Name of Federal Agency: Type in the name of the awarding agency, "[insert agency name]"  |
| 10   | Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement. The number for this program would be [insert number].  |
| 11   | Descriptive Title of Applicant's Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.   |
| 12   | Areas Affected by Project: Identify the geographic area(s) of the project. Indicate "Statewide" or "National", if applicable.  |
| 13   | Proposed Project Dates: Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.   |
| 14   | Congressional Districts: Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National", if applicable.  |
| 15   | Estimated Funding: In line "a", enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.   |
| 16   | State Executive Order 12372: Some states require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.   |

|           |  |
|-----------|--|
| <b>17</b> | Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.  |
| <b>18</b> | Authorized Representative: Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies. |

## **Appendix C**

### **Assurances**

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
  2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
  3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
  4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
  5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
  6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
  7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
  8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
  9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
- OBSOLETE.  
ATTACHMENT TO SF-424
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
  11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
  12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
  13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
  14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
  15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.

16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

## **Appendix D**

### **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drugfree Workplace Requirements**



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and Implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and Implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the DrugFree Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drugfree awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drugfree workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

## DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 --

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date



# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

|   |   |   |
|---|---|---|
| <b>1. Type of Federal Action:</b><br><input type="checkbox"/> a. contract<br><input type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance   | <b>2. Status of Federal Action:</b><br><input type="checkbox"/> a. bid/offer/application<br><input type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post award | <b>3. Report type:</b><br><input type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change<br>For Material Change Only:<br>year _____ Quarter _____<br>date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee<br>Tier _____, <i>if known</i><br><br>Congressional District, <i>if known</i> :   |   | <b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br><br>Congressional District, <i>if known</i> :   |
| <b>6. Federal Department/Agency:</b>  | <b>7. Federal Program Name/Description:</b><br><br><br>CDFA Number, <i>if applicable</i> : _____  |   |
| <b>8. Federal Action Number, <i>if known</i>:</b>   | <b>9. Award Amount, <i>if known</i>:</b><br>\$  |   |
| <b>10. a. Name and Address of Lobbying Entity<br/>(if individual, last name, first name, MI)</b>  | <b>b. Individuals Performing Services<br/>(including address if different from No. 10a)<br/>(last name, first name, MI)</b>   |   |
| <b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of the fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | Signature: _____<br>Print Name: _____<br>Title: _____<br>Telephone No.: _____ Date: _____   |   |
| <b>Federal Use Only:</b>  |   | Authorized for Local Reproduction<br>Standard Form - LLL  |

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identifying the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- B. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- G. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046); Washington, D.C. 20503.

## **Appendix E**

### **Sample Abstract**

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## **SAMPLE ABSTRACT**

### **X County, State**

X County Probation Department

Implementation/Enhancement Grant Application

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X County proposes to develop a more effective system to identify and manage juveniles who commit sexual offending behavior. X County is a suburban county and is the most populated county in the state, with a population of approximately 52,000.

The incidence and prevalence of juvenile sexual offending are an increasing concern for X County. According to a 1999 analysis prepared by the County's legislative analyst, approximately 30% of all sexual offenses in our community are committed by individuals under the age of 18. In calendar year 1998, a total of 100 juveniles were charged with committing sexually abusive behavior. In 1999, that number climbed to 130, an increase of 30%.

Many communities respond to juveniles who commit sexual offenses using the same methods of assessment, treatment, and management as they do with adult sex offenders. Significant differences exist between adult and juvenile offenders who commit sexual offenses, which must be addressed when developing a systematic response to juvenile offending.

The requested grant monies will assist our community in filling significant gaps in our service delivery system, enabling us to create a continuum of care and supervision for juveniles who commit sexual offenses, and to conduct an evaluation of our interventions. The proposed program will add five essential components to our existing management system:

- a full-time pretrial supervision officer to specialize in assessing and managing juveniles alleged to have committed unlawful sexual offenses, from the time of police contact through the court process;
- two part-time probation monitors to work Friday through Sunday afternoon and evenings (critical time frames for supervision);
- a full-time victim advocate to enhance the role of our victim advocacy component;
- a contract with Z Clinic to augment existing treatment services; and
- a part-time Grant Manager and Research Coordinator to administer the grant and implement data collection and analysis for evaluation purposes.

Our collaborative team members include:

- Sue Jones, Grant Coordinator;
- John Doe, Research Coordinator;

- The Honorable Mary Wells, Presiding Juvenile Court Judge;
- Sandy Hughes, Victim Advocate (from our local non-governmental victim advocacy agency);
- Tom Smith, Chief Probation Officer;
- Laura Travis, Chief Deputy District Attorney;
- David Russell, Sex Offender Treatment Provider;
- Linda Thompson, Therapist, Private Treatment Services;
- Sean Young, Deputy Superintendent, X County Public Schools;
- Tom Richardson, Youth Counselor, Division of Youth Services;
- Cindy Walker, Supervisor, Department of Human Services; and
- Gary Davis, Intake Supervisor, Child Protection Services.

## **Appendix F**

### **Budget Detail Worksheet and Sample Budget Detail Worksheet**

## Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

| <b>Name/Position</b> | <b>Computation</b> | <b>Cost</b> |
|----------------------|--------------------|-------------|
|----------------------|--------------------|-------------|

**TOTAL** \_\_\_\_\_

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**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

| <b>Name/Position</b> | <b>Computation</b> | <b>Cost</b> |
|----------------------|--------------------|-------------|
|----------------------|--------------------|-------------|

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**TOTAL** \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

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**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3- day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

| <b>Purpose of Travel</b> | <b>Location</b> | <b>Item Computation</b> | <b>Cost</b> |
|--------------------------|-----------------|-------------------------|-------------|
|--------------------------|-----------------|-------------------------|-------------|

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**TOTAL** \_\_\_\_\_

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**D. Equipment** - List non-expendable items that are to be purchased (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

| <b>Item</b> | <b>Computation</b> | <b>Cost</b> |
|-------------|--------------------|-------------|
|-------------|--------------------|-------------|

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**TOTAL** \_\_\_\_\_

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**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

| <b>Supply Items</b> | <b>Computation</b> | <b>Cost</b> |
|---------------------|--------------------|-------------|
|---------------------|--------------------|-------------|

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**TOTAL** \_\_\_\_\_

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**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

| <b>Purpose</b> | <b>Description of Work</b> | <b>Cost</b> |
|----------------|----------------------------|-------------|
|----------------|----------------------------|-------------|

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**TOTAL** \_\_\_\_\_

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**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$50 per day require additional justification and prior approval from OJP.

| <b>Name of Consultant</b> | <b>Service Provided</b> | <b>Computation</b> | <b>Cost</b> |
|---------------------------|-------------------------|--------------------|-------------|
|---------------------------|-------------------------|--------------------|-------------|

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**Subtotal** \_\_\_\_\_

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**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging etc.)

| <b>Item</b> | <b>Location</b> | <b>Computation</b> | <b>Cost</b> |
|-------------|-----------------|--------------------|-------------|
|-------------|-----------------|--------------------|-------------|

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**Subtotal** \_\_\_\_\_

---

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

| <b>Item</b> | <b>Cost</b> |
|-------------|-------------|
|-------------|-------------|

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**Subtotal** \_\_\_\_\_

**TOTAL** \_\_\_\_\_

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**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

| Description | Computation | Cost |
|-------------|-------------|------|
|-------------|-------------|------|

**TOTAL** \_\_\_\_\_

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

| Description | Computation | Cost |
|-------------|-------------|------|
|-------------|-------------|------|

**TOTAL** \_\_\_\_\_

---

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

| <b>Budget Category</b>          | <b>Amount</b> |
|---------------------------------|---------------|
| <b>A. Personnel</b>             | _____         |
| <b>B. Fringe Benefits</b>       | _____         |
| <b>C. Travel</b>                | _____         |
| <b>D. Equipment</b>             | _____         |
| <b>E. Supplies</b>              | _____         |
| <b>F. Construction</b>          | _____         |
| <b>G. Consultants/Contracts</b> | _____         |
| <b>H. Other</b>                 | _____         |
| <b>Total Direct Costs</b>       | _____         |
| <b>I. Indirect Costs</b>        | _____         |
| <b>TOTAL PROJECT COSTS</b>      | _____         |

**Federal Request** \_\_\_\_\_

**Non-Federal Amount** \_\_\_\_\_

## **Sample Budget Detail Worksheet**



## Sample Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

| <b>Name/Position</b> | <b>Computation</b> | <b>Cost</b> |
|----------------------|--------------------|-------------|
|----------------------|--------------------|-------------|

---

|                                 |                |        |
|---------------------------------|----------------|--------|
| Sue Jones<br>Planning Personnel | (40,000 x 50%) | 20,000 |
|---------------------------------|----------------|--------|

Ms. Jones, planning personnel for X Department or County, will be assigned one-half time specifically to this project, performing duties A, B, and C. Ms. Jones' current salary is \$40,000; one-half of her time will be devoted to the accomplishment of the duties described.

|                                |                |        |
|--------------------------------|----------------|--------|
| John Doe<br>Research Personnel | (40,000 x 50%) | 20,000 |
|--------------------------------|----------------|--------|

Mr. Doe, research personnel for X Department or County, will be assigned one-half time specifically to this project, performing duties A, B, and C. Mr. Doe's current salary is \$40,000; one-half of his time will be devoted to the accomplishment of the duties described.

|                        |                    |        |
|------------------------|--------------------|--------|
| Two Part-Time Monitors | (30,000 x 50% x 2) | 30,000 |
|------------------------|--------------------|--------|

Two part-time monitors will be hired for X Department or County to perform duties A, B, and C. Thirty thousand dollars is the average yearly salary for a Monitor in this area. One-half of their time will be devoted to the

accomplishment of the duties described.

|                                 |                 |        |
|---------------------------------|-----------------|--------|
| Sandy Hughes<br>Victim Advocate | (30,000 x 100%) | 30,000 |
|---------------------------------|-----------------|--------|

Ms. Hughes will be hired by X Department or County, to perform duties A, B, and C. Thirty thousand dollars is the average yearly salary for a Victim Advocate in this area. One hundred percent of her time will be devoted to the accomplishment of the duties described.

|                               |                 |        |
|-------------------------------|-----------------|--------|
| Pre-trial Supervision Officer | (40,000 x 100%) | 40,000 |
|-------------------------------|-----------------|--------|

One Pre-trial officer will be hired by X Department or County, to perform duties A, B, and C. Forty thousand dollars is the average yearly salary for a Pre-trial Supervision Officer in this area. One hundred percent of his/her time will be devoted to the accomplishment of the duties described.

**TOTAL \$140,000**

---

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

| <b>Name/Position</b> | <b>Computation</b> | <b>Cost</b> |
|----------------------|--------------------|-------------|
| Employer's FICA      | (140,000 x 11.5%)  | 16,100      |

**TOTAL \$16,100**

**Total Personnel & Fringe Benefits \$16,100**

---

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to

training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

| Purpose of Travel    | Location | Item    | Computation                            | Cost  |
|----------------------|----------|---------|--|-------|
| 2 Training Workshops | DC       | Airfare | (375 x 6 people x 2 trips)             | 4,500 |
|                      |          | Hotel   | (119 x 4 people x 3 nights x 2 trips)  | 2,856 |
|                      |          | Hotel   | (119 x 2 people x 4 nights x 2 trips)  | 1,904 |
|                      |          | Meals   | (46/day x 4 people x 3 days x 2 trips) | 1,104 |
|                      |          | Meals   | (46/day x 2 people x 4 days x 2 trips) | 736   |

Six members of the collaborative team will participate in the training workshops:

- ▶ Sue Jones, Grant Coordinator;
- ▶ John Doe, Research Coordinator;
- ▶ The Honorable Mary Wells, Presiding Juvenile Judge;
- ▶ Tom Smith, Chief Probation Officer, X Probation Department;
- ▶ Sandy Hughes, Victim Advocate; and
- ▶ David Russell, Therapist, Z Clinic

Airfare is based upon a quote received from X travel agent on X date for round-trip airfare from Our City to Washington, DC, without a Saturday night stay, fourteen day advance, refundable coach fare. Per diem rates reflect the current rates for Washington, DC.

**TOTAL \$11,100**

**D. Equipment** - List non-expendable items that are to be purchased (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

| Item | Computation | Cost |
|------|-------------|------|
| N/A  |             |      |

**TOTAL \$0**

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

| Supply Items | Computation | Cost |
|--------------|-------------|------|
|--------------|-------------|------|

N/A

**TOTAL \$0**

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

| Purpose | Description of Work | Cost |
|---------|---------------------|------|
|---------|---------------------|------|

N/A

**TOTAL \$0**

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant, enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

| Name of Consultant | Service Provided | Computation | Cost |
|--------------------|------------------|-------------|------|
|--------------------|------------------|-------------|------|

|              |                      |                 |       |
|--------------|----------------------|-----------------|-------|
| X Consultant | Meeting Facilitation | (400 x 18 days) | 7,200 |
|--------------|----------------------|-----------------|-------|

X Consultant will facilitate the monthly meetings of the collaborative team and

perform duties A, B, and C. This consultant rate reflects his/her current, established daily rate.

**Subtotal \$7,200**

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging etc.).

| <b>Item</b> | <b>Location</b> | <b>Computation</b> | <b>Cost</b> |
|-------------|-----------------|--------------------|-------------|
|-------------|-----------------|--------------------|-------------|

N/A

**Subtotal \$0**

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

| <b>Item</b> | <b>Cost</b> |
|-------------|-------------|
|-------------|-------------|

|          |                                 |        |
|----------|---------------------------------|--------|
| Z Clinic | Sex Offender Treatment Services | 30,000 |
|----------|---------------------------------|--------|

Z Clinic will perform duties A, B, and C. This fee is determined by X.

**Subtotal \$30,00**

**TOTAL \$37,200**

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, investigative or confidential funds, etc.) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

| <b>Description</b> | <b>Computation</b> | <b>Cost</b> |
|--------------------|--------------------|-------------|
|--------------------|--------------------|-------------|

N/A

**TOTAL \$0**

---

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

| <b>Description</b>           | <b>Computation</b> | <b>Cost</b> |
|------------------------------|--------------------|-------------|
| 10 % of personnel and fringe | (156,100 x 10%)    | 15,610      |

The above indirect cost rate was approved by our cognizant Federal agency as of X date. A copy of the fully executed negotiated agreement is attached.

**TOTAL \$15,610**

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**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

| <b>Budget Category</b>          | <b>Amount</b>     |
|---------------------------------|-------------------|
| <b>A. Personnel</b>             | 140,000.00        |
| <b>B. Fringe Benefits</b>       | 16,100.00         |
| <b>C. Travel</b>                | 11,100.00         |
| <b>D. Equipment</b>             | 0.00              |
| <b>E. Supplies</b>              | 0.00              |
| <b>F. Construction</b>          | 0.00              |
| <b>G. Consultants/Contracts</b> | 37,200.00         |
| <b>H. Other</b>                 | 0.00              |
| <b>Total Direct Costs</b>       | <b>204,400.00</b> |
| <b>I. Indirect Costs</b>        | 15,610.00         |
| <b>TOTAL PROJECT COSTS</b>      | <b>220,010.00</b> |

**Federal Request            \$220,010.00**

**Non-Federal Amount            0.00**

## **Appendix G**

### **Sample Memorandum of Understanding**



## **SAMPLE MEMORANDUM OF UNDERSTANDING**

The memorandum of understanding should be a single document, on agency letterhead, that clearly articulates the goals and objectives of the jurisdiction's initiative. It should include a statement about the mission of the collaborative team, the membership of that team, and a description of the working relationship among team members. This narrative should include a statement that addresses how the initiative will enhance public safety through the effective management of sex offenders in the community.

The memorandum of understanding should include (but not be limited to) the collaborative team's direction and/or approach to:

- Developing a clear mission, goals, and objectives for the project;
- Structuring the collaborative team, including clarifying the definition of team roles and responsibilities, determining the team's decision making process, planning for regular meetings, and creating methods for the regular exchange of information regarding sex offender management among the collaborative members;
- Developing and monitoring a work plan that will reflect the activities and progress of the project through the maintenance of project logs describing team accomplishments and challenges; and
- Engaging in an active effort to collect data and other information about the offender population, current practice and available resources for the management of sex offenders in the community, and using this information to guide the efforts of the collaborative team.

The memorandum of understanding must be submitted with signatures from all members of the team. The memorandum of understanding should be reviewed by the team on a regular basis to ensure that their work accurately reflects the MOU's mission, goals, and objectives.

## **Appendix H**

### **Single Points of Contact**

## INTERGOVERNMENTAL REVIEW PROCESS

Executive Order 12372 requires applicants from State and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," Section 4, the Office of Management and Budget (OMB) shall maintain a list of official State entities designated by the States to review and coordinate proposed Federal financial assistance and direct Federal development. This listing is the OFFICIAL OMB LISTING. This listing is also published in the Catalogue of Federal Domestic Assistance biannually.

States that are not listed no longer participate in the intergovernmental review process but MAY still apply for grants. These include: Alaska; American Samoa; Colorado; Connecticut; Kansas; Hawaii; Idaho; Louisiana; Massachusetts; Minnesota; Montana; Nebraska; Oklahoma; Oregon; Pennsylvania; South Dakota; Tennessee; Virginia; and Washington. This list is based on the most current information provided by the States. Changes to the list will only be made upon formal notification by the State.

---

ARIZONA  
Joni Saad  
Arizona State Clearinghouse  
3800 N. Central Avenue  
Fourteenth Floor  
Phoenix, Arizona 85012  
Telephone: (602) 280-1315  
FAX : (602) 280-1305

ARKANSAS  
Mr. Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services,  
Department of Finance and  
Administration  
1515 W. 7th St., Room 412  
Little Rock, Arkansas 72203  
Telephone: (501) 682-1074  
FAX: (501) 682-5206  
Email: tlcopeland@dfa.state.ar.us

CALIFORNIA  
Grants Coordinator  
Office of Planning & Research  
1400 Tenth Street, Room 121  
Sacramento, California 95814

Telephone: (916) 323-7480  
FAX: (916) 323-3018

DELAWARE  
Francine Booth  
State Single Point of Contact  
Executive Department  
Thomas Collins Building  
P.O. Box 1401  
Dover, Delaware 19903  
Telephone: (302) 739-3326  
FAX: (302) 739-5661  
Email: fbooth@state.de.us

DISTRICT OF COLUMBIA  
Charles Nichols  
State Single Point of Contact  
Office of Grants Mgmt. & Development.  
717 14th Street, N.W. - Suite 500  
Washington, D.C. 20005  
Telephone: (202) 727-6554  
FAX: (202) 727-1617

FLORIDA  
Florida State Clearinghouse  
Department of Community Affairs

2740 Centerview Drive  
Tallahassee, Florida 32399-2100  
Telephone: (904) 922-5438  
FAX: (904) 487-2899  
Email: [cherie.trainor@dcs.state.fl.us](mailto:cherie.trainor@dcs.state.fl.us)

#### GEORGIA

Deborah Stephens  
Administrator  
Georgia State Clearinghouse  
254 Washington Street, S.W. - Room  
401J  
Atlanta, Georgia 30334  
Telephone: (404) 656-3855 or  
FAX: (404) 656-7901  
Email: [ssda@mail.opb.state.ga.us](mailto:ssda@mail.opb.state.ga.us)

#### ILLINOIS

Virginia Bova  
State Single Point of Contact  
Department of Commerce and  
Community Affairs  
620 East Adams  
Springfield, Illinois 62701  
Telephone: (217) 814-6028  
FAX: (217) 814-1800

#### INDIANA

Frances Williams  
State Budget Agency  
212 State House  
Indianapolis, Indiana 46204  
Telephone: (317) 232-2972  
FAX: (317) 233-3323

#### IOWA

Steven R. McCann  
Division for Community Assistance,  
Iowa Department of Economic  
Development  
200 East Grand Avenue  
Des Moines, Iowa 50309  
Telephone: (515) 242-4719  
FAX: (515) 242-4859  
Email: [steve.mccann@ided.state.ia.us](mailto:steve.mccann@ided.state.ia.us)

#### KENTUCKY

Kevin J. Goldsmith, Director  
Sandra Brewer, Executive Secretary

Intergovernmental Affairs  
Office of the Governor  
700 Capitol Center Avenue  
Frankfort, Kentucky 40601  
Telephone: (502) 564-2611  
FAX: (502) 564-2849  
Email: [sbrewer@mail.state.ky.us](mailto:sbrewer@mail.state.ky.us)

#### MAINE

Joyce Benson  
State Planning Office  
184 State Street  
38 State House Station  
Augusta, Maine 04333  
Telephone: (207) 287-3261  
FAX: (207) 287-6489  
Email: [joyce.benson@state.me.us](mailto:joyce.benson@state.me.us)

#### MARYLAND

Linda Janney, Manager  
Plan and Project Review  
Maryland Office of Planning  
301 W. Preston Street - Room 1104  
Baltimore, Maryland 21201-2365  
Telephone: (410) 767-4490  
FAX: (410) 767-4480  
Email: [linda@mail.op.state.md.us](mailto:linda@mail.op.state.md.us)

#### MICHIGAN

Richard Pfaff  
Southeast Michigan Council of  
Governments  
1900 Edison Plaza  
660 Plaza Drive  
Detroit, Michigan 48226  
Telephone: (313) 961-4266  
FAX: (313) 961-4869  
Email: [pfaff@semcog.org](mailto:pfaff@semcog.org)

#### MISSISSIPPI

Cathy Mallette  
Clearinghouse Officer  
Department of Finance and  
Administration  
455 North Lamar Street  
Jackson, Mississippi 39202-3087  
Telephone: (601) 359-6762

FAX: (601) 359-6764

#### MISSOURI

Lois Pohl  
Federal Assistance Clearinghouse  
Office Of Administration  
P.O. Box 809  
Room 760, Truman Building  
Jefferson City, Missouri 65102  
Telephone: (314) 751-4834  
FAX: (314) 751-7819

#### NEVADA

Department of Administration  
State Clearinghouse  
Capitol Complex  
Carson City, Nevada 89710  
Telephone: (702) 687-4065  
FAX: (702) 687-3983  
Contact: Heather Elliot  
Telephone: (702) 687-6367  
Email: helliot@govmail.state.nv.us

#### NEW HAMPSHIRE

Jeffrey H. Taylor  
Director, New Hampshire Office of State  
Planning  
Attn: Intergovernmental Review Process  
Mike Blake  
2 ½ Beacon Street  
Concord, New Hampshire 03301  
Telephone: (603) 271-2155  
FAX: (603) 271-1728

#### NEW MEXICO

Nick Mandell  
Local Government Division  
Room 201 Bataan Memorial Building  
Santa Fe, New Mexico 87503  
Telephone: (505) 827-3640  
FAX: (505) 827-4984

#### NEW YORK

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, New York 12224  
Telephone: (518) 474-1605  
FAX : (518) 486-5617

#### NORTH CAROLINA

Jeanette Furney (Grants)  
Chrys Baggett (Environment)  
N.C. State Clearinghouse  
Office of the Secretary of  
Administration.  
116 West Jones Street  
Raleigh, North Carolina 27603-8003  
Telephone: (919) 733-7232  
FAX: (919) 733-9571

#### NORTH DAKOTA

North Dakota Single Point of Contact  
Office of Intergovernmental Assistance  
600 East Boulevard Avenue  
Bismarck, North Dakota 58505-0170  
Telephone: (701) 224-2094  
FAX: (701) 224-2308

#### OHIO

Larry Weaver  
State Single Point of Contact  
State Clearinghouse  
Office of Budget and Management  
30 East Broad Street, 34th Floor  
Columbus, Ohio 43266-0411

*Please direct correspondence and  
questions about intergovernmental  
review to:*

Linda Wise  
Telephone: (614) 466-0698  
FAX: (614) 466-5400

#### RHODE ISLAND

Kevin Nelson  
Review Coordinator  
Department of Administration  
Division of Planning  
One Capitol Hill, 4th Floor  
Providence, Rhode Island 02908-5870  
Telephone: (401) 222-2280  
FAX: (401) 222-2083

#### SOUTH CAROLINA

Rodney Grizzle  
State Single Point of Contact  
Budget and Control Board

Office of the Governor  
1122 Ladies Street - 12<sup>th</sup> Floor  
Columbia, South Carolina 29201  
Telephone: (803) 734-0485  
FAX: (803) 734-0645  
Email: agrizzle@budget.state.sc.us

#### TEXAS

Tom Adams  
Governors Office  
Director, Intergovernmental  
Coordination  
P.O. Box 12428  
Austin, Texas 78711  
Telephone: (512) 463-1771  
FAX: (512) 463-1888  
Email: tadams@governor.state.tx.us

#### UTAH

Carolyn Wright  
Utah State Clearinghouse  
Office of Planning and Budget  
Room 116 State Capitol  
Salt Lake City, Utah 84114  
Telephone: (801) 538-1535  
FAX: (801) 538-1547  
Email: cwright@state.ut.us

#### WEST VIRGINIA

Fred Cutlip, Director  
West Virginia Development Office  
Building #6, Room 645  
State Capitol  
Charleston, West Virginia 25305  
Telephone: (304) 558-0350  
FAX: (304) 558-0362  
Email: fcutlip@wvdo.org

#### WISCONSIN

Jeff Smith, Section Chief  
State/Federal Relations  
Wisconsin Department of Administration  
101 East Wilson Street - 6th Floor  
P.O. Box 7868  
Madison, Wisconsin 53707  
Telephone: (608) 266-0267  
FAX: (608) 267-6931  
Email: sjt@mail.state.wi.us

#### WYOMING

Sandy Ross  
Department of Administration and  
Information  
2001 Capitol Avenue, Room 214  
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